BUSINESS RULES FOR THE FACILITY IDENTIFICATION DATA STANDARD

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1. THE STANDARD

- a. The purpose of the standard is to be able to identify a facility of interest to EPA based on its location. Adoption of the standard will help the Agency integrate and share facility information across multiple information systems, programs and governments.
- b. This standard provides for the unique identification of facilities regulated or monitored by the Environmental Protection Agency (EPA). Each facility is assigned a unique facility identification number which identifies information for the facility specified.
- c. This standard does not establish a new reporting requirement for the regulated community or new data collection requirements for EPA programs. It does, however, require that Agency information collections of facility identification information conform to the standard; i.e., that data fields in Agency forms will be modified to conform with the standard and that metadata for facility identification data fields in national program systems be specified in accordance with the standard.
- d. This standard assists and supports the development of computerized applications that use facility identification information.

2. **DEFINITIONS**

- a. A *facility* is a distinct real property entity (i.e., a man-made object and its surrounding real estate). Facilities incorporate the characteristics of being: (1) objects, established at (2) specific places, for (3) specific purposes. For the purposes of this standard, a facility can include monitoring stations, waste sites, and other entities of environmental interest that cannot be classified as single facilities.
- b. The *Facility Registry System* is a centrally managed database of authoritative information that identifies facilities that are regulated or of environmental interest to EPA programs or delegated states.
- c. The Facility Identification *Data Standard Steward* is the person accountable for the maintenance of the data element definitions, the associated domain values and the business rules that support all information customers.
- d. Program Data Stewards are staff responsible and accountable for management

- of national program systems, both media specific and administrative, managed from EPA Headquarters or in off site locations, i.e., EPA Regions or Laboratories.
- e. Regional Data Stewards are staff located in EPA Regional offices accountable for the overall quality of facility identification records and in some cases facility linkages for Federal facilities located in their regions. They also serve as primary points-of-contact for State-level Stewards.
- f. The EPA *Environmental Data Registry* (EDR) is the central repository and reference tool for Agency data elements and other objects, such as business rules.

3. APPLICABILITY

- a. This standard is applicable to all programs responsible for data about facilities regulated or monitored by EPA.
- b. This standard applies to all information systems, existing and future, as well as manual information systems.
- c. This standard is to be employed by writers of Agency regulations or by persons developing proposed legislation that will result in the collection of data about facilities.
- d. This standard is applicable to Information Collection Requests (ICRs) where program offices have determined that there is a need to collect facility identification data.
- e. State and Tribal partners and other stakeholders are encouraged to adopt this standard on a voluntary basis. This standard is applicable to state partners and other stakeholders only when the work plan of the Environmental Performance Partnership Agreement, or the appropriate Grant program agreements, includes mechanisms for adopting the standard. These agreements are typically reached between the Regional offices or the program offices and the States or other stakeholders.

4. DATA REQUIREMENTS

a. Agency information systems must specify facility identification data elements already contained in their systems in conformance with the standard; i.e., modifying the metadata pertaining to data element definitions, formats, and

- representations to conform with the standard.
- b. Agency programs which collect facility identification information must modify their information collections, i.e., the data fields in their collection forms, whether paper or electronic, to conform to the standard.
- c. Agency programs are not required to modify their information collection requests or their program systems to collect and store facility identification data elements not already contained in their information collections or systems.
- d. Detailed information about the facility identification data model and data elements including definitions, standard valid values, and formats, can be found in the EPA Environmental Data Registry (EDR) at http://www.epa.gov/edr/. The data model is provided in Appendix A and an overview of the data elements in Appendix B.

5. PROCESSING

- a. Program Systems will provide a map identifying facility identification data elements and data groups contained in program information systems to the facility identification standard data elements which can be found in the Environmental Data Registry (EDR).
- b. Data formats for facility identification information received and handled by the Central Data Exchange must be consistent with this standard.

6. ROLES AND RESPONSIBILITIES

- a. The Chief Information Officer (CIO) will:
 - i. Ensure adherence to these business rules and will be responsible for the resolution of conflicts and issues relating to these business rules, including applicability and waiver issues.
 - ii. Promote compliance with and provide guidance and technical information to program offices.
 - iii. Ensure the appointment of a Facility Identification Data Standard Steward for the Facility Identification Data Standard who will be responsible for the correctness, relevancy and reliability of the data standard and will set in motion timely reviews of the standard consistent with Section 9 of these rules to assure the standard remains current.
 - iv. Maintain a repository of the valid enumerated value domains for facility identification standard data elements (e.g., valid list of County names,

- valid list of USPS State Codes) and facility identification data standard business rules in the Environmental Data Registry.
- v. Be responsible for issuing waivers from compliance with this standard in accordance with the procedures laid out in Section 8 of these business rules.
- b. Senior Information Resources Management Officers (SIRMO) and Regional Information Resource Management (IRM) Branch Chiefs will:
 - i. Promote compliance with this standard.
 - ii. Approve application for waiver from this standard and submit it to the Chief Information Officer.
 - iii. Ensure that new information collections and system designs are consistent with this standard.
 - iv. Ensure appointment of Program Data Stewards and Regional Data Stewards.

c. System Program Managers will:

- i. Ensure that this standard is implemented as applicable in their systems.
- ii. Appoint program data stewards.
- iii. Work collaboratively with the CIO on continuing standards development and implementation.
- iv. Identify and bring forward potential conflicts between these business rules, the underlying standards, and program systems needs.
- v. Prepare and submit for approval waiver requests when a standard cannot be implemented.

d. Program Data Stewards will:

- i. Work with the program managers, identify what data are collected, the data flow, and data system business rules. Identify potential changes to what data is collected and/or method by which data is reported so as to improve program management and reporting.
- ii. Identify systemic problems/inconsistencies in the underlying information collections that yield data quality errors, and work with managers of Agency programs to find and implement corrective solutions.
- iii. Collaborate with Regional and State Data Stewards on improving data quality of facility identification data.

e. Regional Data Stewards will:

- i. Maintain communication with Program data stewards, State data stewards, and program system managers in the Agency and in the States.
- ii. Coordinate Regional priorities with State priorities for data clean-up where appropriate.
- iii. Notify Program Data Stewards of data quality issues that are raised by Regional or State data stewards

7. IMPLEMENTATION

- a. The EDR contains detailed information about the facility identification data standard, current value sets and business rules.
- b. EPA's REI national systems will modify the metadata in their program systems in conformance with this standard by September 30, 2003. National System Program Managers will register their modified metadata in the EDR by September 30, 2003. EPA's REI systems include:
 - i. Permit Compliance System (PCS)
 - ii. National Compliance Database (NCDB)
 - iii. OECA Docket (Docket)
 - iv. RCRA Information System (RCRIS)
 - v. Aerometric Information Retrieval System/Air Quality Subsystem (AIRS/AQS)
 - vi. AIRS/Air Facility Subsystem (AFS)
 - vii. Biennial Reporting System (BRS)
 - viii. CAA 112(r) Risk Management Plan Information System (RMP*Info)
 - ix. CERCLA Information System (CERCLIS 3)
 - x. Safe Drinking Water Information System (SDWIS)
 - xi. Toxics Release Inventory System (TRIS)
 - xii. STOrage and RETrieval of Water Quality Data (STORET)
 - xiii. Envirofacts (EF) Data Warehouse

Note: Many of the systems identified above have undergone some level of modernization since the issuance of the REI Action Plan and may no longer be referenced by the name listed above. These new replacement systems are also subject to implementation requirements of the data standards where appropriate.

- c. Non-REI information systems will implement the standard by modifying their metadata as part of their normal re-engineering and system redesign cycle.
- d. In order to facilitate the population of the FRS, National System Program Managers will provide a crosswalk to the FRS program managers between the facility identification data elements contained in their systems and the facility identification data elements in the FRS by September 30, 2001 or during normal

- negotiations with FRS program managers.
- e. This standard will be incorporated into all Agency information collections as the information collections are designed for initial approval by OMB or as information collections are renewed.

8. PROVISION FOR WAIVER

- a. The Agency's CIO may grant waivers for sufficient reasons.
- b. Applications of a waiver shall contain:
 - i. An outline of the reasons why the data standard should not be implemented.
 - ii. A risk assessment and cost-effectiveness evaluation of continued non-compliant operation.
 - iii. Approval of the decision officials in the requesting office, as defined by EPA's System Life Cycle management policy and by the organizations's SIRMO.
- c. The CIO shall notify the applying office in writing of the disposition of the waiver within 60 days of receipt.

9. MAINTENANCE

- a. This standard and business rules shall be reviewed at 5-year intervals, or more often, by the Facility Identification Data Standard Steward in conjunction and consultation with all stakeholders consistent with the Agency's defined Data Standards process.
- b. Any changes to the standard and business rules will be regularly updated and published in the EDR.

10. REFERENCES

- a. *Clinger-Cohen Act of 1996* (formerly the Information Technology Management Reform Act of 1996)
- b. *OMB Circular No. A-130, Management of Federal Information Resources,* February 8, 1996.
- c. Office of Management and Budget Circular A-119, Federal Participation in the

- Development and Use of Voluntary Consensus Standards, February 10, 1998.
- d. Facility Identification Template for States (FITS): Working Guidelines for Integrating Facility Identification Information. Report sponsored by the Environmental Council of States, U.S. EPA One Stop Program and the Washington Department of Ecology. December 15, 1997.
- e. Facility Identification Template for States (FITS) Version 2: Working Guidelines for Integrating Facility Identification Information. Prepared for State Environmental Agencies, sponsored by Knowledge Transfer Action Team of the State EPA Information Management Workgroup, Washington Department of Ecology, Environmental Council of States, and U.S. EPA One Stop Reporting Program. February, 2000.
- f. Data Content Standard for Location and Identification of Facilities, Federal Geographic Data Committee (FGDC), Public Review Draft, November 1997.

Appendix A Facility Identification Data Model

High-level Facility Identification Data Model _____

Industry Classification

SIC and NAICS Codes

Affiliation

The relationship between a facility site and an organization and/or individual.

Organization

A type of organization that has some responsibility or role at the facility site.

Individual

An individual person who has some responsibility or role at the facility site.

Mailing Address

The standard address where mail is delivered to the affiliated org. or individual.

Geographic Location

Precise and complete information that identifies the physical location of a facility site.

Facility Site

A distinct real property at a specific place for a specific purpose.

Program Interest

Need or activity that causes an environmental program to be interested in a facility site.

Appendix B FACILITY DATA STANDARD ELEMENTS

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	FORMAT		
Facility Site Definition: Basic identification information for a facility site, including the facility registry identifier, geographic address, and geopolitical descriptors. Relationships: Each Facility Site may be involved with one or more Affiliation(s). Each Facility Site may be classified by one or more Standard Industrial Classification(s). Each Facility Site may be classified by one or more North American Industry Classification(s). Each Facility Site may be geographically located by one or more Geographic Coordinates. Each Facility Site must be monitored by one or more Environmental Interest(s).				
Facility Registry Identifier	The identification number assigned by the EPA Facility Registry System to uniquely identify a facility site.	A(12)		
State Facility Identifier	The unique identification number used by a state to identify a facility site.	A(12)		
Facility Site Name	The public or commercial name of a facility site (i.e., the full name that commonly appears on invoices, signs, or other business documents, or as assigned by the state when the name is ambiguous).	A(80)		
Location Address	The address that describes the physical (geographic) location of the front door or main entrance of a facility site, including urban-style street address or rural address.	A(50)		
Supplemental Location Text	The text that provides additional information about a place, including a building name with its secondary unit and number, an industrial park name, an installation name or descriptive text where no formal address is available.	A(50)		

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	FORMAT
Locality Name	The name of the city, town, village or other locality, when identifiable, within whose boundaries (the majority of) the facility site is located. This is not always the same as the city used for USPS mail delivery. **Allowable Values: (examples) "None" is an allowable value. The code set found in the current FIPS 55 Guideline: Codes for Named Populated Places, Primary County Divisions, and Other Locational Entities of the United States, Puerto Rico, and the Outlying Areas. The URL is: http://www.itl.nist.gov/div897/pubs/fip55-3.htm.	A(60)
County and State FIPS Code	The code that represents the county or county equivalent and the state or state equivalent of the United States. Allowable Values: All codes for counties and county equivalents of all states of the U.S. as well as U.S. territories and possessions found in the current FIPS publication 6-4, Counties and Equivalent Entities of the United States, Its Possessions, and Associated Areas. Remarks: The first 2-digits of the code represent the state; the last 3-digits represent the county. For example, 09001 represents Fairfield County (001), Connecticut (09).	A(5)
County Name	The name of the U.S. county or county equivalent in which the facility site is physically located.	A(35)
State Name	The name of a principal administrative subdivision of the United States, Canada, or Mexico.	A(35)
Country Name	The name that represents a primary geopolitical unit of the world. Default: United States	A(44)
Location ZIP Code/ International Postal Code	The combination of the 5-digit Zone Improvement Plan (ZIP) code and the four-digit extension code (if available) that represents the geographic segment that is a subunit of the ZIP Code, assigned by the U.S. Postal Service to a geographic location; or the postal zone specific to the country, other than the U.S., where the facility site is located.	A(14)
Tribal Land Name	The name of an American Indian or Alaskan native area where the facility site is located.	A(200)

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	FORMAT		
Geographic Coordinates Definition: A geographic point, or set of points, defined by latitude and longitude coordinates used to locate a facility site, usually the front door or centroid, including the associated method, accuracy, and description data. Relationships: Each Geographic Coordinates occurrence must geographically locate one and only one Facility Site occurrence.				
shown. For an example allowable v http://www.epa.gov/edr/). There ca	to the EPA Latitude/Longitude Data Standard; only mandatory data values list, see the Environmental Data Registry for EPA's list (URL: n be multiple Geographic Coordinates associated with a Facility Site dinate can only be associated with one Facility Site occurrence.			
Latitude Measure	The measure of the angular distance on a meridian north or south of the equator.	A(6) - A(10) DD.dddddd		
Longitude Measure	The measure of the angular distance on a meridian east or west of the prime meridian.	A(7) - A(11) DDD.dddddd		
Horizontal Accuracy Measure	The measure of the accuracy (in meters) of the latitude and longitude coordinates.	A(6) in meters		
Geometric Type (Textual Data or C	ode Data acceptable)			
Code	The code that represents the geometric entity represented by one point or a sequence of latitude and longitude points.	A(3)		
Name	The name that identifies the geometric entity represented by one point or a sequence of latitude and longitude points.	A(6)		
Horizontal Collection Method (Text	tual Data or Code Data acceptable)			
Code	The code that represents the method used to determine the latitude and longitude coordinates for a point on the earth.	A(3)		
Text	The text that describes the method used to determine the latitude and longitude coordinates for a point on the earth.	A(60)		
Horizontal Reference Datum (Text	ual Data or Code Data acceptable)			
Code	The code that represents the reference datum used in determining latitude and longitude coordinates.	A(3)		
Name	The name that describes the reference datum used in determining latitude and longitude coordinates.	A(7)		
Reference Point (Textual Data or Code Data acceptable)				
Code	The code that represents the place for which geographic coordinates were established.	A(3)		

DATA ELEMENT DEFINITION DATA ELEMENT DEFINITION		FORMAT
Text	The text that identifies the place for which geographic coordinates were established.	A(60)
Source Map Scale Number	The number that represents the proportional distance on the ground for one unit of measure on the map or photo. *Remarks: Mandatory for all horizontal data collection methods except for methods using Global Positioning System (GPS).	A(10)

Affiliation

Definition:

The relationship between a facility site and an organization and/or an individual person.

Relationships:

Each Affiliation occurrence must be established with one and only one Facility Site occurrence.

Each Affiliation occurrence may involve one and only one Organization occurrence.

Each Affiliation occurrence may involve one and only one Individual occurrence.

Each Affiliation occurrence may receive mail at one and only one Mailing Address occurrence.

Remarks:

This doesn't imply that the affiliation must exist, but; if an affiliation exists, it must be associated with one and only one Facility Site. An Organization may participate with multiple Facility Sites. Each type of affiliation can exist more than once for a facility site; thus there can be two occurrences of the Legally Responsible Entity affiliation type with a Facility Site.

Affiliation Type	The name that describes the capaci organization or individual serves for <i>Allowable Values (examples)</i> :		A (40)
	Organization Legally Responsible Entity	Individual Report Certifier	
	Legal Operator Waste Treater Waste Handler	Regulatory Contact Public Contact	
	Land Owner Parent Corporation		

Organization

Definition:

A company, government body, or other type of organization that has some responsibility or role at the Facility Site. *Relationships*:

Each Organization must be involved with one or more Affiliation(s).

Organization Formal Name	The legal, formal name of an organization that is affiliated with the facility site.	A(80)
	The Data Universal Numbering System (DUNS) number assigned by Dun and Bradstreet to identify unique business establishments.	A(9)

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	FORMAT		
Individual Definition: An individual person who has some responsibility or role at the facility site. Relationships: Each Individual must be involved with one or more Affiliation(s).				
Individual Full Name	The complete name of a person, including first name, middle name or initial, and surname.	A(70)		
Individual Title Text	The title held by a person in an organization.	A(40)		
Mailing Address Definition: The standard address used to send mail to an individual or organization affiliated with the facility site. Relationships: Each Mailing Address must be the delivery point for one or more Affiliation(s).				
Mailing Address	The exact address where a mail piece is intended to be delivered, including urban-style street address, rural route, and PO Box.	A(50)		
Supplemental Address Text	The text that provides additional information to facilitate the delivery of a mail piece, including building name, secondary units, and mail stop or local box numbers not serviced by the U.S. Postal Service.	A(50)		
Mailing Address City Name	The name of the city, town, or village where the mail is delivered.			
Mailing Address State Name	The name of the state where mail is delivered.	A(35)		
Mailing Address Country Name	The name of the country where the addressee is located. <i>Default</i> : United States	A(44)		
Mailing Address ZIP Code/International Postal Code	The combination of the 5-digit Zone Improvement Plan (ZIP) code and the four-digit extension code (if available) that represents the geographic segment that is a subunit of the ZIP Code, assigned by the U.S. Postal Service to a geographic location to facilitate mail delivery; or the postal zone specific to the country, other than the U.S., where the mail is delivered.	A(14)		
Environmental Interest Definition: The environmental permits and regulatory programs that apply to the facility site. Relationships: Each Environmental Interest occurrence must apply to one and only one Facility Site occurrence.				

DATA ELEMENT NAME	DATA ELEMENT DEFINITIO)N	FORMAT
Environmental Interest Type	The environmental permit of the facility site. Allowable Values: (example Value TRI Report NPDES Major NPDES Minor NPDES Minor NPDES General Permit NPDES Stormwater Permit NPDES Other Permit Pretreatment SIU SS Major SS Synthetic Minor SS NESHAP Minor SS NESHAP Minor SS Other Minor RMP Facility TSD LQG (EPA Defined) LQG (State Defined) SQG Spill Control Plan UIC UST	Meaning Toxic Release Inventory Report Clean Water Act NPDES Major Clean Water Act NPDES Minor Clean Water Act NPDES General Permit	A(60)
Environmental Interest Start Date	Date the agency became inte	erested in the facility site for a sterest type.	Date

DATA ELEMENT NAME	DATA ELEMENT DEFINITION	FORMAT	
Environmental Interest End Date	Date the agency ceased to be interested in the facility site for a particular environmental interest type.	Date	
Environmental Interest Start Date Qualifier	The qualifier that specifies the meaning of the date being used as an approximation for the environmental interest start date. Allowable Values: (examples) Date of First Report Date Operations Commenced Date of Permit Application Date Permit Issued Date Monitoring Started	A(50)	
Environmental Interest End Date Qualifier	The qualifier that specifies the meaning of the date being used as an approximation for the environmental interest end date. Allowable Values: (examples) Date of last report Date Permit Ended Date Operations Ended	A(50)	
Environmental Information System Abbreviated Name	The abbreviated name that represents the name of an information management system for an environmental program.	A(15)	
Environmental Information System Identification Number			
Standard Industrial Classification Definition: The Standard Industrial Classification (SIC), or type of business activity, occurring at the facility site. Relationships: Each Standard Industrial Classification occurrence must classify one and only one Facility Site occurrence. Remarks: This group is included by reference to the SIC/NAICS Data Standard.			
Standard Industrial Classification (SIC) Code The code that represents the economic activity of a company (4-digits).			

DATA ELEMENT NAME	DATA ELEMEN	T DEFINITION	FORMAT
SIC Primary Indicator		indicates whether the associated SIC Code primary activity occurring at the facility site. Meaning The SIC Code represents the primary activity occurring at the facility site. The SIC Code represents a secondary activity occurring at the facility site. It is not known whether the SIC Code represents the primary or secondary activity at the facility site.	A(10)
facility site. <i>Relationships:</i>	sification System	(NAICS) code, or type of industrial activity, occurrical classify one and only one Facility Site. CS Data Standard.	ng at the
North American U.S. National Industry Classification System (NAICS) Code	The code that represents a subdivision of an industry that accommodates user needs in the United States (6-digits).		
NAICS Primary Indicator		indicates whether the associated NAICS Code orimary activity occurring at the facility site. Meaning The NAICS Code represents the primary activity occurring at the facility site. The NAICS Code represents a secondary activity occurring at the facility site. It is not known whether the NAICS Code represents the primary or secondary activity at the facility site.	A(10)